

Instructions for Completing the
Worksheet for Calculating and Filing Carrier Contributions
to Fund Interstate Telecommunications Relay Service (TRS)

TRS FUND WORKSHEET

Notice to Individuals: Section 64.604(c)(4)(iii) of the Commission's Rules requires all carriers providing interstate service to complete this worksheet and to contribute funding for interstate Telecommunications Relay Services (TRS). The collection of information and fees stems from the Commission's authority under the Communications Act of 1934, Sections 4, 48, 48 Stat. 1066, as amended, 47 U.S.C. 154 unless otherwise noted. Interpret or apply Sections 201, 211, 218, 219, 220, 225 48 Stat. 1073, 1077, as amended; 47 U.S.C. 201, 211, 218, 219, 220, 225. The data in the report will be used to ensure that carriers properly fund interstate TRS. Selected information provided in the worksheet will be made available to the public in a manner consistent with the Commission's Rules. All carriers providing interstate telecommunications service must file this worksheet. Other telecommunications carriers may voluntarily file this worksheet.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid control number.

The foregoing Notice is required by the Privacy Act of 1974, P.L. 93-579, December 31, 1974, 5 U.S.C. 552(a)(3), and the Paperwork Reduction Act of 1995, P.L. 96-511.

Public reporting burden for this collection of information is estimated to average 2 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden to the Federal Communications Commission, Records Management Branch, Washington, DC 20554.

I. Introduction

On July 15, 1993, the Commission adopted rules that require all providers of interstate telecommunications services to contribute to the provision of TRS based on their proportionate share of gross interstate revenues. Section 64.604(c)(4)(iii) directs carriers to calculate and file their contribution in accordance with a TRS Fund

Worksheet.

Contributions shall be calculated and filed in accordance with a "TRS Fund Worksheet", which will be prepared and published in the Federal Register. The worksheet sets forth information that must be provided by the contributor, the formula for computing the contribution, the manner of payment, and due dates for payments.

II. Filing Requirements and General Instructions

A. Who must file

All common carriers providing interstate telecommunications services within the United States or international telecommunications service between U.S. and foreign points must file this worksheet. For this purpose, the United States is defined as the conterminous United States, Alaska, Hawaii, American Samoa, Baker Island, Guam, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Island, Navassa Island, the Northern Mariana Islands, Palmyra, Puerto Rico, the U.S. Virgin Islands, and Wake Island.

For the purpose of calculating TRS contributions, interstate telecommunications service includes, but is not limited to the interstate portion of the following types of services: cellular telephone and paging, mobile radio, operator services, personal communications service (PCS), access (including Subscriber Line Charges), alternative access and special access, packet-switched, WATS, 800, 900, message telephone service (MTS), private line, telex, telegraph, video, satellite, international, intra-LATA, and resale services. Note that all local exchange carriers provide interstate access services, and therefore must file.

Carriers need not file if they provide only intrastate service. Carriers need not file if they did not provide interstate service in calendar year 1996. All such carriers are encouraged to file because all carriers that file will be included in the FCC **Carrier Locator**. The Carrier Locator is a directory of telecommunications common carriers and is available to the public through the Commission's contract copier or on-line through the FCC-State Link computer bulletin board at (202) 418-0241. All carriers that are required to file or that voluntarily file must include a TRS fund contribution. The minimum contribution is \$100.

Entities may not file summary reports for more than one carrier. **Each legal entity that provides interstate telecommunications service must file separately.** Entities that have distinct articles of incorporation are separate legal entities. All affiliates or subsidiaries should identify the ultimate controlling parent or entity in Block 1, Line (1d) -- Holding Company.

B. When and Where to File

The 1997 TRS contribution period will fund interstate TRS provided between May 1, 1997 and April 30, 1998. Monthly contributions for the 1997 TRS contribution period must be received by the 26th of each month for April 1997 through March 1998. A revised TRS Worksheet will be released for the 1998 TRS contribution period.

The legal name of the carrier and the TRS Company Code should be shown on all checks exactly as it appears on the completed TRS Fund Worksheet. TRS Company Codes can be obtained from the **Carrier Locator**, or by contacting the TRS Fund Administrator. **Do not mail the TRS worksheet or TRS contribution checks to the FCC.** Payments must be received by the FCC TRS Fund Administrator -- the National Exchange Carrier Association (NECA) -- no later than the dates indicated below. The filing schedule is as follows:

Mailing Address	Worksheet Due 4/26/97	Payments Due 4/26/97 through 3/26/98*
NECA TRS P.O. Box 360090 Pittsburgh, PA 15251-6090		Check**
NECA FCC TRS Fund Administration 100 South Jefferson Rd. Whippany, NJ 07981 Telephone: 201- 884-8173 Fax: 201-884-8469	Completed Worksheet	Photocopy of check**

*Carriers whose total 1997 TRS contribution is less than \$1200 must pay the total amount to the FCC TRS Fund Administrator no later than April 26, 1997. Carriers whose total 1997 TRS contribution is \$1200 or greater may elect to make twelve equal monthly payments with the first payment due to the FCC TRS Fund Administrator no later than April 26, 1997.

** Carriers are encouraged to contact the FCC TRS Fund Administrator to make arrangements for Electronic Funds Transfer.

C. Rounding of Numbers

All information provided in the worksheet, except the signature, should be neatly printed in ink or typed. Reported revenues in block 2, column (b) may be rounded to the nearest thousand dollars. Regardless of rounding, **all dollar amounts must be reported in whole dollars.** For example, \$2,271,881.93 could be reported as \$2,271,882 or as \$2,272,000, but could not be reported as \$2272 thousand or \$2.272 million. Please enter \$0 if there was no revenue for the line for 1996.

Percentages reported in block 2, column (c) should be rounded to the nearest whole percent. For example, if the ratio of interstate to total revenue was .4269155, then the figure 43% should be reported. **Percentages between 0% and 1% should be reported as 1%.** Please enter 0% if there was no interstate revenue for the line for 1996.

Interstate revenues should be taken directly from corporate books of account if available. Otherwise interstate revenues should be calculated as total revenues in column (b) times the percentage shown in column (c). Calculated interstate revenues should be rounded to the nearest whole dollar and entered in column (d). Similarly, the total contribution (block 3, Line (18)) and amounts enclosed with the filing (block 3, Line (19)) should be rounded to the nearest whole dollar.

D. Compliance

Carriers failing to file the TRS Worksheet in a timely fashion are subject to the fines prescribed in Section 219(b) of the Communications Act of 1934 (the Act). Carriers filing false information are subject to fines or imprisonment as specified in Section 220(e) of the Act. Carriers failing to contribute in a timely fashion are subject to fines prescribed in Section 503(b) of the Act. In addition, Section 64.604(c)(4) of the Commission's Rules authorizes the FCC Fund Administrator to bill a carrier for reasonable costs, including interest and legal fees, that are caused by improper filing of the worksheet or overdue TRS contributions.

III. Specific Instructions

A. Block 1: Carrier Identification

Block 1 of the TRS Fund Worksheet requires identification information. Line (1a) requests the legal name of the carrier as it appears on articles of incorporation or other legal documents. Line (1b) requests the principal name under which the company conducts carrier activities. This would typically be the name that appears on customers bills, or the name used when service representatives answer customer inquiries. Line (1c) provides a checkoff for the principal carrier activity. Please check the category

that best describes the carrier.

CAP/CLEC -- Competitive Access Provider or Competitive Local Exchange Carrier -- competes with incumbent local exchange carriers to provide services that link customers with interexchange facilities, local exchange networks, or other customers.

Cellular, PCS & SMRs -- Cellular telephone, Personal Communications Services and Specialized Mobile Radio Service providers.

IXC -- Interexchange Carrier.

LEC -- Local Exchange Carrier -- provider of franchised local exchange service.

OSP -- Operator Service Providers -- are companies other than LECs that provide services to customers needing assistance of an operator such as to complete away from home calls, or calls using alternate billing arrangements. These companies typically employ operators as well as credit and cash card technologies to complete calls.

Paging & Other Mobile -- Provides commercial mobile telecommunications services other than those identified above.

Pay Telephone -- Provides customers access to telephone networks through pay telephone equipment, special teleconference rooms, etc.

Pre-paid Card -- Provides pre-paid calling card services.

Reseller -- Leases underlying transmission facilities for purposes of providing interexchange service.

Other -- Check other if none of the above categories describes the carrier.

Line (1d) requests the name of the holding company or controlling entity, if any. All affiliates or carriers owned by a common entity should have the same name for Line (1d).

Line (2) requests the primary carrier identification code (CIC) used by the carrier for the provision of interexchange services. All carriers that purchase feature group B or feature group D access services have one or more CICs. CICs are administered by the North American Numbering Plan Administration, which can be reached at 908-699-3021.

Line (3) requests the complete mailing address of the corporate headquarters. Line (4) requests a telephone number that can be used for customer inquiries. Information provided in Block 1 will be published in the Industry

Analysis Division **Carrier Locator.**

B. Block 2: Carrier revenue for calendar year 1996

1. Column (b)

Provide gross revenues for all telecommunications services for calendar 1996. Gross revenues include revenues from regulated, detariffed, and nonregulated telecommunications services. Where two carriers have merged during the year, the successor company should report total revenues for the year for both the predecessor and successor operations. (The two carriers, however, would continue to report separately if each maintained separate corporate identities and continued to operate.) Gross revenues should not include non telecommunications services, such as the lease of customer premises equipment. Gross revenues consist of total revenues billed to customers for service provided during the year with no allowances for uncollectibles or out of period adjustments. Billed revenues may be distinct from booked revenues. NECA pool companies should report the actual gross billed revenues (CABS Revenues) reported to the NECA pool and not settlement revenues received from the pool. For international services, gross revenues consist of gross revenues billed by U.S. carriers with no allowances for settlement payments. Gross revenues should also include any surcharges on communications services that are billed to the customer and either retained by the carrier or remitted to a non-government third party under contract. Gross revenues should exclude taxes and any surcharges that are not recorded as revenue, but which are instead remitted to government bodies. Carrier revenue data for calendar 1996 should be taken from the latest available company official records as of April 1997.

Report carrier revenues using the categories shown in column (a) of Block 2. Carriers required to use the Uniform System of Accounts (USOA) prescribed in Part 32 of the Commission's rules should base their response on their USOA account data. Other carriers should divide gross revenues based on the following descriptions. Do not use categories 8 or 14 for revenues that logically should be placed in other categories.

Local Services

Line (5)--Local exchange service-- should include the basic local service revenues of local exchange carriers except for local private line revenue, access revenues, and revenues from providing commercial mobile or cellular services to the public. Line (5) should include Account 5001 -- basic area revenue; Account 5002 -- Optional extended area revenue; Account 5003 -- Cellular mobile revenue (revenue to the local exchange carrier for messages between a cellular customer and another station within the mobile service area); Account 5050 -- Customer premises revenue; Account 5060 -- Other local exchange revenue; and, Account 5069 -- Other local exchange revenue settlements. Line (5) should also include

amounts in Account 5004 -- Other mobile services revenue -- that were derived from connecting with mobile service carriers.

Line (5) should not include Account 5010 -- pay telephone revenues. Such revenues should be included in line (11) -- Operator service and pay telephone revenues. In addition, Line (5) should not include revenues from the Universal Service Fund and Lifeline Assistance Revenues (reimbursement for the waived portion of subscriber line charges). Such revenues should be included in Line (9) -- Interstate access revenues.

Line (6) -- Local private line service -- should include revenues from providing local services that involve dedicated circuits, private switching arrangements and/or predefined transmission paths. Line (6) should include amounts recorded in Account 5040 -- Local private line revenue.

Line (7) -- Mobile radio, cellular, paging and PCS -- should include revenues from the provision of commercial mobile radio, cellular, and paging and personal communications services to the public. Line (7) should also include amounts in Account 5004 -- Other mobile services revenue -- that were derived from providing service directly to the public.

Line (8) -- Other local -- should include Account 5200 -- Miscellaneous revenue as well as other local telecommunications service revenue that would not reasonably be included with one of the other local service revenue categories.

Access Services

Line (9) -- Interstate access -- should include revenues in Account 5081 -- End User revenue; Account 5082 -- Switched access revenue; and, Account 5083 -- Special access revenue. In addition, Line (9) should include revenues from any Universal Service Fund and Lifeline Assistance Revenues (reimbursement for the waived portion of subscriber line charges).

Line (10) -- Intrastate access -- should include revenues in Account 5084 -- State access revenue.

Do not include charges to customers on Line (9) or Line (10) other than tariffed subscriber line charges.

Long Distance Services

Long distance revenues include intrastate, interstate, and international long distance services. Divide long distance revenues between operator service, other switched service, long distance private line services, and all other long distance services.

Line (11) -- Operator service and Pay Telephone --

should include all calling card or credit card calls, persons to person calls, and calls with alternative billing arrangements such as third number billing and collect calls. In addition, Line (11) should also include all pay telephone revenue, including all revenue in Account 5010. Operator service revenues should include all toll traffic from coin, public and semi-public, accommodation and prison telephones.

Line (12) -- Non-operator switched toll service -- should include amounts from Account 5100 -- Long distance message revenue -- except for amounts reported in Line (11). Line (12) includes ordinary message telephone service. Line 12 also includes WATS, toll free (e.g., 800, and/or 888), 900, "WATS like" and similar switched services.

Line (13) -- Long distance private line service -- should include revenue from dedicated circuits, private switching arrangements, and/or predefined transmission paths, extending beyond the basic service area. This category should include revenue from the resale of special access services. Line (13) should include Account 5120 -- Long distance private network revenue.

Line (14) -- All other long distance -- should include all other revenues from providing long distance communications services. Line (14) should include Account 5160 -- Other long distance revenue.

Total the figures in column (b) for Line (5) through Line (14) and enter this amount in Line (15b). This should represent the total communications revenues for the company.

2. Column (c)

For each entry in Line (5) through Line (14), estimate the percentage of revenues in column (b) that are for interstate and/or international service, and enter this percentage in Column (c). Interstate revenues include all revenues received for calls that do not originate and terminate in the same state. For example, if a cellular carrier collects a fixed amount of revenue per minute of traffic, and 10% of minutes are interstate, then interstate revenues would include 10% of the per minute revenues.

Wherever possible, carriers should calculate the percentage of total revenues that are interstate by using information from their books of accounts and other internal data reporting systems. Carriers who cannot calculate a percentage by using information from their books of accounts and other internal data reporting systems, may elect to rely on a special study to estimate the percentages.

3. Column (d)

If interstate revenues cannot be taken directly from the carrier's books, multiply the gross revenues reported in

column (b) by the interstate percentages reported in column (c), putting the results in column (d). The sum of the figures in column (d), Lines (5) through (14), should be entered in Line (15d).

C. Block 3: Calculation of Contribution

Use block 3 in the worksheet to calculate the TRS contribution for the period April 1997 through March 1998. Total interstate revenues from Line (15d) should be copied to Line (16). This amount must be multiplied by the Contribution Rate shown in Line (17), with the result entered in Line (18). The contribution rate is 0.00058 for the 1997 filing year.

If the result of the calculation is less than \$100, then the total contribution is \$100. If the total contribution is less than \$1,200, then the carrier should remit the total contribution with the worksheet. If the total liability is equal to or greater than \$1,200, then the carrier may elect to make 12 equal monthly payments. The monthly contribution should be calculated as the amount in Line (18) divided by 12.0, rounded to the nearest whole dollar. Enter the amount of the April 26, 1997 fund contribution in Line (19). If the carrier elects to make monthly contributions, the eleven additional monthly contributions must be received by the 26th of succeeding months, May 1997 through March 1998.

Section II - B above provides directions for mailing the completed TRS Fund Worksheet and checks for amounts due to the FCC Fund Administrator. Carriers who check the box in Line (19) will receive monthly payment reminders. These reminders will be mailed to the address shown in Line (25b). Contact the NECA, the TRS Fund Administrator to make other arrangements. Failure to receive a reminder notice will not justify late payments.

D. Block 4. Certification

An officer of the fund contributor must examine the data provided in the TRS Fund Worksheet and certify that the information provided therein is accurate. In addition, the fund contributor should provide the name of a contact person who can provide clarifications, if necessary, and who could serve as the first point of contact in the event that either the FCC or the FCC Fund Administrator should choose to audit information provided by the company.

Line (25b) should contain the address of the contact person. The 1997 TRS Fund Worksheet will be sent to this address unless other arrangements are made with the TRS Fund Administrator.

Line (26) provides a check off to show whether the worksheet is the original filing for 1997, or whether the worksheet is a revised 1997 filing. A carrier must file a revised worksheet if it discovers an error in the data that it reports. Carriers generally close their books for finan-

cial purposes by April. Carriers should not include (carry back) routine out of period adjustments to revenue data unless such adjustments would affect a reported amount by more than 10%. Carriers should not file a revised Form 431 to reflect mergers, acquisitions, or sale of operating units. In the event that a carrier that filed a Form 431 no longer exists, the successor company to the carrier's assets or operations is responsible to continue making payments for the funding period and should include that carrier's 1996 revenues with its own for the purpose of calculating its 1997 TRS fund contribution.

IV. Reminders

- Each affiliate or subsidiary must file separately. Each affiliate or subsidiary should show the same holding company name on Line (1d).

- Provide data for all lines that apply. Show a zero for all items where the carrier had no revenue for calendar 1996.

- All pay telephone, credit card, debit card, prepaid calling card and operator assisted revenue should be included on Line (11).

- New providers of local exchange service, such as CAPs and CLECs, should report revenue from end users as local exchange service, private line service, or long distance service revenues, as appropriate.

- Include the legal name of the carrier -- as shown on Line (1a) -- on all TRS fund checks. Also include the TRS company code on checks. The TRS company code is assigned by NECA, the TRS Fund Administrator.

1997 FCC Form 431 TRS Fund Worksheet

Approved by OMB

3060-0536

(Please read instructions before completing. Report actual amounts billed to customers during the year without subtracting uncollectibles or international settlement payments. Report revenues in whole dollars. Do not report negative amounts.)

Estimated Average Burden Hours Per Response: 2 hours

Block 1: Carrier Identification

TRS Company Code, supplied by NECA

1a Legal Name of Carrier

1b Name carrier is doing business as

1c Principal Communications Business (check only one)

☐ LEC

☐ CAP/CLEC

☐ IXC

☐ Reseller

☐ Cellular, PCS or SMR

☐ Paging & Other Mobile

☐ Pre-paid Card

☐ Pay Telephone

☐ OSP

☐ Other: specify →

1d Holding Company

2 Principal CIC code used for interexchange service

3 Complete Mailing Address of Carrier Corporate Headquarters

4 Telephone # for Customer Inquiries

Block 2: Carrier Revenue Data for Calendar Year 1996

Note: Please report whole dollars even if amounts are rounded

Note: Enter a figure for all revenue elements. Enter a '0' if none.
(a)

Gross Telecommunications Revenues
(b)

% Interstate
(c)

Interstate Revenues
(d) = (b) x (c)

Local Services

5 Local exchange service

\$

%

\$

6 Local private line service

\$

%

\$

7 Mobile radio, cellular, paging & PCS

\$

%

\$

8 Other

\$

%

\$

Access Services (see instructions)

9 Interstate access

\$

100

%

\$

10 Intrastate access

\$

0

%

\$

0

Long Distance Services

11 Operator service & pay telephone

\$

%

\$

12 Non-operator switched toll service

\$

%

\$

13 Long distance private line service

\$

%

\$

14 All other long distance

\$

%

\$

15 Total lines 5 through 14

\$

\$

Block 3: Calculation of Contribution

Note: Please report whole dollars without further rounding.

16 Interstate Revenues from line 15d

\$

17 Contribution Rate:

x

0.00058

18 Total CONTRIBUTION for April 1997 through March 1998: line 16 x line 17

[The minimum contribution is \$100. Do not enter less than \$100.]

\$

19 Contribution to be paid this month:

(Enter the amount from line 18 if it is less than \$1200. Otherwise, the contributor may divide the amount on line 18 by 12.0 to calculate equal monthly contributions.)

Check here for monthly billing reminders > ☐

\$

Block 4: CERTIFICATION

I certify that I am an officer of the carrier named above, that I have examined the foregoing report and to the best of my knowledge, information and belief, all statements of fact contained in this worksheet are true and that said worksheet is an accurate statement of the affairs of the above named carrier for the period January 1, 1996 through December 31, 1996.

20 Printed Name of Officer

21 Position with carrier

22 Signature

23 Date

24 Contact Person

25a Telephone Number of Contact Person

() -

25b Complete Mailing Address of Contact:

[Filing information and the 1998 TRS Fund Worksheet will be sent to this address.]

26 This filing is:

☐ Original filing for 1997

☐ Revised filing for 1997

Mail checks to: NECA TRS P.O. Box 380090 Pittsburgh, PA 15251-6090 For additional information call NECA 201-884-8173

Mail worksheet and photocopy of checks to: NECA - FCC TRS Fund Administration 100 South Jefferson Rd. Whippany, NJ 07981

PERSONS MAKING WILLFUL FALSE STATEMENTS IN THE WORKSHEET CAN BE PUNISHED BY FINE OR IMPRISONMENT UNDER THE COMMUNICATIONS ACT, 47 U.S.C. 220(e)

FCC 431

March 1997

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